

05/04/01

09849152-050401



J1033 U.S. PTO

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new non-provisional applications under 37CFR§1.53(b))	Attorney Docket No.	KLR: 1016.066
	First Inventor or Application Identifier	McCann et al.
	Title	FIBER OPTIC WAFER PROBE
	Express Mail Label No.	EL744771435US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231				
<p>1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification <span style="float: right;">Total pages <b>23</b></span> (preferred arrangement set forth below) - Descriptive Title of the Invention - Cross References to Related Applications - Statement Regarding Federally Sponsored Research - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) <span style="float: right;">[Total Pages <b>7</b></span></p> <p>4. Oath or Declaration <span style="float: right;">[Total Pages <b>2</b></span> a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR §1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§1.53(d)(2) and 1.33(b)</p> <p>* Note for Items 1 &amp; 13: In order to be entitled to pay small entity fees, a small entity statement is required (37 CFR §1.27), except if one filed in a prior application is relied upon (37 CFR §1.28)</p>		<p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer readable copy b. <input type="checkbox"/> Paper copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p>			
<b>ACCOMPANYING APPLICATION PARTS</b>					
<p>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input checked="" type="checkbox"/> 37 CFR §3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney when there is an assignee</p> <p>9. <input type="checkbox"/> English translation document (if applicable)</p> <p>10. <input type="checkbox"/> Information Disclosure Statement (IDS) /PTO 1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>11. <input type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (should be specifically itemized)</p> <p>13. <input type="checkbox"/> *Small Entity Statements (PTO/sb/09-12) <input checked="" type="checkbox"/> Statement filed in prior application. Status still proper and desired.</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>15. <input checked="" type="checkbox"/> Other: Our check</p>					
<p>16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment</p> <p>Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) <input type="checkbox"/> of prior application No.: _____</p> <p>Prior application information: Examiner _____ Group No./Art Unit _____</p> <p>For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>					
<b>17. CORRESPONDENCE ADDRESS</b>					
<input type="checkbox"/> Customer Number or Bar Code Label (Insert customer number or attach bar code label here) or <input checked="" type="checkbox"/> Correspondence address below					
Name	Kevin L. Russell				
Address	601 SW Second Ave., Suite 1600				
City	Portland	State	OR	Zip Code	97204-3157
Country	US	Telephone	(503)227-5631	FAX	(503)228-4373
Name (print type)	Kevin L. Russell	Registration No.	28,876		
Signature		Date	May 4, 2001		

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete If Known

Application Number  
Filing Date April 4, 2001  
First Named Inventor McCann et al.  
Examiner Name  
Group/ Art Unit

TOTAL AMOUNT OF PAYMENT \$1,438

Attorney Docket No. KLR 1016.066

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge the indicated fees and credit any over payments to:

Deposit Account Number 03-1550  
Deposit Account Name Chernoff Vilhauer McClung & Stenzel

☒ Charge any additional fee required under 37 CFR 1.16 & 1.17

2. ☒ Payment Enclosed

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$ 355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					\$355

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
87	-20** = 67	9	603
Indep. Claims	11 - 3** = 8	40	440
Multiple Dependent			0

\*or number of previously paid, if greater. For reissues, see below.

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	*Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$1,043

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	710	246	355	Filing a submission after final rejection (37 C.F.R. 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 C.F.R. 1.129(b))	
169	900	169	900	Request for Expedited Examination of a Design Application	

Other (specify)

SUBTOTAL (3) \$40

## SUBMITTED BY

Complete (if applicable)


Name (print type)	Registration No.	Telephone	(503) 227-5631
Signature	Date	May 4, 2001	

**CERTIFICATE OF MAILING  
BY EXPRESS MAIL**

Express Mail No.: EL744771435US

Date of Deposit: May 4, 2001

I hereby certify that the patent application attached hereto entitled **FIBER OPTIC WAFER PROBE**, EMcCann et al., inventors, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and is addressed to, The Honorable Commissioner for Patents and Trademarks, Box Patent Application, Washington, D.C. 20231.

  
Dwight Bergquist-Moody

03849152-050401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE UNDER 37 CFR §3.73(b)

Applicants: McCann et al.

Application No: N/A Filed: Concurrently herewith

Title: FIBER OPTIC WAFER PROBE

Cascade Microtech, Inc. (Assignee) an Oregon corporation (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.) certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached. (Where one or more of the documents is unrecorded.)

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this Certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: May 4, 2001

Name: Kevin L. Russell

Title: Attorney for the Assignee (a copy of the Power of Attorney is attached)

Signature: \_\_\_\_\_

Chernoff, Vilhauer, McClung & Stenzel, LLP  
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601 S W Second Avenue  
Portland, Oregon 97204  
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